

Please use a plus sign (+) inside this box →



PTO/SB/05 (1/88)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 0756-1950

First Inventor or Application Identifier: Shunpei YAMAZAKI et al.

Title: ELECTRO-OPTICAL DEVICE AND METHOD FOR DRIVING THE SAME

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification Total Pages [53]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) Total Sheets [26]
4. ☒ Oath or Declaration Total Pages [2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement ☒ Copies of IDS  
(IDS)/PTO-1449 Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☐ \*Small Entity ☐ Statement filed in prior application,  
Statement(s) Status still proper and desired  
(PTO/SB/09-12)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Other: Notice of Change of Address

\*A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Divisional of prior application Serial No. 08/912,298, filed July 31 1997; which itself is a Continuation of Serial No. 08/634,382, filed April 18, 1996, now abandoned; which is a Divisional of Serial No. 08/153,080, filed November 16, 1993, now U.S. Patent No. 5,568,288; which is a Divisional of Serial No. 07/857,597, filed March 25, 1992, now U.S. Patent No. 5,287,205.

Prior application information: Examiner: J. Dudek Group/Art Unit: 2871

**18. CORRESPONDENCE ADDRESS**

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below  
(Insert Customer No. or Attach bar code label here)

Name: Eric J. Robinson  
Firm: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, P.C.  
Address: 8180 Greensboro Drive, Suite 800  
City: McLean State: VA  
Country: U.S.A. Telephone (703) 790-9110

Zip Code: 22102  
FAX (703) 883-0370

Name: Eric J. Robinson

Registration No. 38,285

Signature

Date: 7 April 1999

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL		Complete If Known																																																																																																																																	
<p><i>Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</i></p>		Application Number																																																																																																																																	
		Filing Date		April 7, 1999																																																																																																																															
		First Named Inventor		Shunpei YAMAZAKI et al.																																																																																																																															
		Examiner Name		J. Dudek																																																																																																																															
		Group Art Unit		2871																																																																																																																															
TOTAL AMOUNT OF PAYMENT		\$1,966.00	Attorney Docket Number		0756-1950																																																																																																																														
METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																																	
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:            Deposit Account No. 19-2380            Deposit Account Name: SIXBEY, FRIEDMAN, LEEDOM &amp; FERGUSON, PC</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:  <input checked="" type="checkbox"/> Check    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other</p>		3. ADDITIONAL FEES																																																																																																																																	
		Large Entity		Small Entity																																																																																																																															
<p style="text-align: center;">FEE CALCULATION</p> <p>1. BASIC FILING FEE</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>101</td> <td>760</td> <td>201</td> <td>380</td> <td>Utility filing fee</td> <td>[760]</td> </tr> <tr> <td>106</td> <td>310</td> <td>206</td> <td>155</td> <td>Design filing fee</td> <td>[ ]</td> </tr> <tr> <td>107</td> <td>480</td> <td>207</td> <td>240</td> <td>Plant filing fee</td> <td>[ ]</td> </tr> <tr> <td>108</td> <td>760</td> <td>208</td> <td>380</td> <td>Reissue filing fee</td> <td>[ ]</td> </tr> <tr> <td>114</td> <td>150</td> <td>214</td> <td>75</td> <td>Provisional filing fee</td> <td>[ ]</td> </tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL (1)</td> <td></td> <td>\$760.00</td> </tr> </tbody> </table> <p>2. EXTRA CLAIM FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Total Claims</th> <th colspan="2">Extra Claims</th> <th colspan="2">Fee from Below</th> <th colspan="2">Fee Paid</th> </tr> </thead> <tbody> <tr> <td>48</td> <td>- 20** =</td> <td>28</td> <td>X \$18.00 =</td> <td>\$504.00</td> <td></td> <td></td> <td></td> </tr> <tr> <td>12</td> <td>- 3** =</td> <td>9</td> <td>X \$78.00 =</td> <td>\$702.00</td> <td></td> <td></td> <td></td> </tr> <tr> <td colspan="4"></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>**or number previously paid, if greater, For Reissues, see below</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>103</td> <td>18</td> <td>203</td> <td>9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>102</td> <td>78</td> <td>202</td> <td>39</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>104</td> <td>280</td> <td>204</td> <td>130</td> <td>Multiple dependent claim</td> <td></td> </tr> <tr> <td>109</td> <td>78</td> <td>209</td> <td>39</td> <td>**Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>110</td> <td>18</td> <td>210</td> <td>9</td> <td>**Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL (2)</td> <td></td> <td>\$1,206.00</td> </tr> </tbody> </table>		Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	101	760	201	380	Utility filing fee	[760]	106	310	206	155	Design filing fee	[ ]	107	480	207	240	Plant filing fee	[ ]	108	760	208	380	Reissue filing fee	[ ]	114	150	214	75	Provisional filing fee	[ ]	SUBTOTAL (1)					\$760.00	Total Claims		Extra Claims		Fee from Below		Fee Paid		48	- 20** =	28	X \$18.00 =	\$504.00				12	- 3** =	9	X \$78.00 =	\$702.00												Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	103	18	203	9	Claims in excess of 20		102	78	202	39	Independent claims in excess of 3		104	280	204	130	Multiple dependent claim		109	78	209	39	**Reissue independent claims over original patent		110	18	210	9	**Reissue claims in excess of 20 and over original patent		SUBTOTAL (2)					\$1,206.00	Fee Code		Fee (\$)		Fee Description	Fee Paid
		Large Entity		Small Entity				Fee Description	Fee Paid																																																																																																																										
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																																
101	760	201	380	Utility filing fee	[760]																																																																																																																														
106	310	206	155	Design filing fee	[ ]																																																																																																																														
107	480	207	240	Plant filing fee	[ ]																																																																																																																														
108	760	208	380	Reissue filing fee	[ ]																																																																																																																														
114	150	214	75	Provisional filing fee	[ ]																																																																																																																														
SUBTOTAL (1)					\$760.00																																																																																																																														
Total Claims		Extra Claims		Fee from Below		Fee Paid																																																																																																																													
48	- 20** =	28	X \$18.00 =	\$504.00																																																																																																																															
12	- 3** =	9	X \$78.00 =	\$702.00																																																																																																																															
Large Entity		Small Entity		Fee Description	Fee Paid																																																																																																																														
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																																
103	18	203	9	Claims in excess of 20																																																																																																																															
102	78	202	39	Independent claims in excess of 3																																																																																																																															
104	280	204	130	Multiple dependent claim																																																																																																																															
109	78	209	39	**Reissue independent claims over original patent																																																																																																																															
110	18	210	9	**Reissue claims in excess of 20 and over original patent																																																																																																																															
SUBTOTAL (2)					\$1,206.00																																																																																																																														
Fee Code		Fee (\$)																																																																																																																																	
105		130		Surcharge-late filing fee or oath		65																																																																																																																													
127		50																																																																																																																																	
205		227		Surcharge-late provisional filing fee or cover sheet		25																																																																																																																													
139		130																																																																																																																																	
147		2,520		Non-English specification		130																																																																																																																													
112		920*																																																																																																																																	
113		1,840*		For filing a request for reexamination		2,520																																																																																																																													
115		110																																																																																																																																	
116		380		Requesting publication of SIR prior to Examiner action		920*																																																																																																																													
117		870																																																																																																																																	
118		1,360		Requesting publication of SIR after Examiner action		1,840*																																																																																																																													
128		1,850																																																																																																																																	
119		300		Ext for reply within first month		215																																																																																																																													
120		300																																																																																																																																	
121		260		Ext for reply within second mth		216																																																																																																																													
138		1,510																																																																																																																																	
140		110		Ext for reply within third mth		240																																																																																																																													
141		1,210																																																																																																																																	
142		1,210		Ext for reply within fourth mth		241																																																																																																																													
143		430																																																																																																																																	
144		580		Ext for reply within fifth month		242																																																																																																																													
122		130																																																																																																																																	
123		50		Notice of Appeal		123																																																																																																																													
126		240																																																																																																																																	
581		40		Filing brief in support of appeal		581																																																																																																																													
146		760																																																																																																																																	
149		760		Request for Oral Hearing		246																																																																																																																													
126		240																																																																																																																																	
581		40		Petition to institute public use proceeding		380																																																																																																																													
146		760																																																																																																																																	
149		760		Petition to revive-unavoidable		380																																																																																																																													
126		240																																																																																																																																	
581		40		Petition to revive-unintentional		380																																																																																																																													
146		760																																																																																																																																	
149		760		Utility issue fee (or reissue)		380																																																																																																																													
126		240																																																																																																																																	
581		40		Design issue fee		380																																																																																																																													
146		760																																																																																																																																	
149		760		Plant issue fee		380																																																																																																																													
126		240																																																																																																																																	
581		40		Petitions to the Commissioner		380																																																																																																																													
146		760																																																																																																																																	
149		760		Petitions related to provisional applications		380																																																																																																																													
126		240																																																																																																																																	
581		40		Submission of IDS		380																																																																																																																													
146		760																																																																																																																																	
149		760		Recording each patent assignment per property (times number of properties)		380																																																																																																																													
126		240																																																																																																																																	
581		40		Filing a submission after final rejection (37 CFR 1.129(a))		380																																																																																																																													
146		760																																																																																																																																	
149		760		For each additional invention to be examined (37 CFR 1.129(b))		380																																																																																																																													
126		240																																																																																																																																	
581		40		Other _____		380																																																																																																																													
146		760																																																																																																																																	
149		760		Other _____		380																																																																																																																													
126		240																																																																																																																																	
581		40		*Reduced by Basic Filing Fee Paid		380																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149		760		SUBTOTAL (3)		\$																																																																																																																													
126		240																																																																																																																																	
581		40		SUBTOTAL (3)		\$																																																																																																																													
146		760																																																																																																																																	
149																																																																																																																																			